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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/646,365	08/22/2003	Martin A. Dorey	2337/107	8639
2101	7590	06/29/2005	EXAMINER	
BROMBERG & SUNSTEIN LLP 125 SUMMER STREET BOSTON, MA 02110-1618			KJM, HAROLD J	
			ART UNIT	PAPER NUMBER
			2182	

DATE MAILED: 06/29/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/646,365

Applicant(s)

DOREY, MARTIN A.

Examiner

Harold Kim

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 03 January 2005.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-33 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-33 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 26 September 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 01032005
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

**DETAILED ACTION**

1. Claims 1-33 are presented for examination.

***Claim Rejections - 35 USC § 112***

2. The following is a quotation of the second paragraph of 35 U.S.C. 112:  
The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.
3. Claims 1-33 is/are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claims 1-33 contains the trademark/trade name: UNIX, Windows. Where a trademark or trade name is used in a claim as a limitation to identify or describe a particular material or product, the claim does not comply with the requirements of 35 U.S.C. 112, second paragraph. See *Ex parte Simpson*, 218 USPQ 1020 (Bd. App. 1982). The claim scope is uncertain since the trademark or trade name cannot be used properly to identify any particular material or product. A trademark or trade name is used to identify a source of goods, and not the goods themselves. Thus, a trademark or trade name does not identify or describe the goods associated with the trademark or trade name. In the present case, the trademark/trade name is used to identify/describe Operating System and, accordingly, the identification/description is indefinite.

***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an

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international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

**5. Claims 1 is/are rejected under 35 U.S.C. 102(e) as being anticipated by Hitz et al., US Patent no. 6,457,130.**

6. In re claim 1, Hitz et al. shows a method for managing file security attributes [fig 1; col 4, lines 12-48] by a file server [110, fig 1] in a computer file storage system [fig 1], the method comprising:

receiving a first request [col 3, line 45; col 5, line 36] from a Windows client [120, fig 1] relating to a file [112, fig 1] stored in the computer file storage system;

determining that the file is a UNIX-secured file [col 3, line 46; col 4, lines 1-7; col 5, line 37];

retrieving a set of UNIX file security attributes associated with the file [col 4, lines 12-29], the set of UNIX file security attributes including at least a UNIX owner identifier [UID, col 4, line 16] and a UNIX group identifier [GID, col 4, line 17]; and

generating a set of Windows file security attributes [col 6, lines 1-10] from the set of UNIX file security attributes, the set of Windows file security attributes including a plurality of security identifiers (SID) [col 4, lines 46-47] including at least an owner SID [col 4, line 46] derived from the UNIX owner identifier and a group SID [col 4, line 47] derived from the UNIX group identifier, wherein at least one of the owner SID and the group SID includes at least one UNIX-specific indicator and the corresponding UNIX identifier [col 6, lines 42-48].

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7. In re claim 2, Hitz et al. shows the at least one UNIX-specific indicator includes a UNIX-specific authority identifier having a value other than the well-known authority identifiers zero through five and an owner/group indicator having a first value to indicate that the UNIX identifier is the UNIX owner identifier [col 6, lines 42-48] and a second value to indicate that the UNIX identifier is the UNIX group identifier [col 6, lines 42-48].

8. In re claim 3, Hitz et al. shows the at least one UNIX-specific indicator includes a UNIX-specific authority identifier having a first value other than the well-known authority identifiers zero through five to indicate that the UNIX identifier is the UNIX owner identifier and a second value other than the well-known authority identifiers zero through five to indicate that the UNIX identifier is the UNIX group identifier [col 6, lines 42-48].

9. In re claim 4, Hitz et al. shows generating a set of Windows file security attributes [col 6, lines 25-52] from the set of UNIX file security attributes comprises:

attempting to map each UNIX identifier to a corresponding Windows identifier [col 6, lines 25-52; col 7, lines 53-54]; and

generating, for each UNIX identifier that cannot be mapped to a corresponding Windows identifier, the SID including the at least one UNIX-specific indicator and the corresponding UNIX identifier [col 6, lines 46-48; col 7, lines 60-64].

10. In re claim 5, Hitz et al. shows attempting to map each UNIX identifier to a corresponding Windows identifier comprises:

maintaining a table mapping UNIX names to Windows names [col 6, lines 25-52];

determining a UNIX name corresponding to the UNIX identifier [col 6, lines 25-52; col 8, lines 7-10]; and

searching the table for a Windows name corresponding to the UNIX name [col 6, lines 25-52].

11. In re claim 6, Hitz et al. shows determining a UNIX name corresponding to the UNIX identifier comprises [col 6, lines 25-52]:

maintaining a cache mapping [col 6, lines 62-63] UNIX identifiers to UNIX names; and

searching the cache for a UNIX name corresponding to the UNIX identifier [col 6, lines 62-63].

12. In re claim 7, Hitz et al. shows sending the UNIX identifier over a communication link to a NIS server [col 7, line 59]; and receiving the UNIX name over the communication link from the NIS server [col 7, line 59].

13. In re claim 8, Hitz et al. shows transmitting the set of Windows file security attributes to the Windows client in a response to the first request [col 5, lines 51-55].

14. In re claim 9, Hitz et al. shows receiving a second request from the Windows client including at least one of said SIDs including at least one UNIX-specific indicator and the corresponding UNIX identifier [col 6, lines 49-52];

translating the at least one of said SIDs into a text string [col 6, lines 43-44]; and

translating the text string to the Windows client in a response to the second request [col 6, lines 43-44].

15. In re claim 10, Hitz et al. shows the text string includes a representation of the UNIX identifier from the SID [col 6, lines 43-44].

16. In re claim 11, Hitz et al. shows a set of UNIX file permissions [col 6, lines 16-48], and wherein generating the set of Windows file security attributes from the set of UNIX file security attributes further comprises:

generating a set of Windows file permissions from the set of UNIX file permissions [col 6, lines 16-48].

17. In re claim 12, Hitz et al. shows at least one requested change to the security attributes of the file [col 8, line 11], and wherein the method further comprises:

applying the requested security attribute changes to the set of Windows file security attributes to create a modified set of Windows file security attributes [col 8, lines 35-46]; and

writing the modified set of Windows file security attributes to the file [col 8, lines 35-46], said writing effectively changing the file from UNIX-secured to Windows-secured [col 8, lines 35-46].

18. In re claims 13-14, Hitz et al. shows a session having a session owner and session group [col 4, lines 63, 46-47].

19. In re claim 15, Hitz et al. shows translating the set of UNIX file permissions into a set of Windows file permissions, the set of Windows file permissions defining owner permissions, group permissions, and everybody permissions [col 10, lines 1-17].

20. In re claim 16, Hitz et al. shows an apparatus for managing file security attributes in a computer file storage system [fig 1], the apparatus comprising:

a network interface [120, fig 1] for communicating with clients over a communication network [fig 1];

a storage interface [110, fig 1] for communicating with a file storage device [111];  
and

file security logic [CIFS, NFS, fig 1] operating between the network interface and the storage interface for managing file security attributes, the file security logic including logic for generating a set of Windows file security attributes [col 6, lines 1-10] from the set of UNIX file security attributes, the set of Windows file security attributes including at least an owner SID derived from the UNIX owner identifier and a group SID derived from the UNIX group identifier [col 4, lines 12-54; col 6, lines 25-52], wherein at least one of the owner SID and the group SID includes at least one UNIX-specific indicator and the corresponding UNIX identifier [col 6, lines 45-48].

21. In re claim 29, Hitz et al. shows an apparatus for managing file security attributes [fig 1; col 4, lines 12-48] in a computer file storage system [fig 1], the apparatus comprising:

means for translating a Unix owner identifier into a Windows-compatible owner SID [col 6, lines 25-30; col 4, lines 12-56];

means for translating a Unix group identifier into a Windows-compatible owner SID [col 6, lines 25-30; col 4, lines 12-56]; and

means for translating Unix file access permissions into a Windows-compatible access control list [col 6, lines 25-30; col 4, lines 12-56].



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22. Claims 17-28 and 30-33 are rejected under the same rationale as discussed above in claims 1-16 and 29.

***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Further references of interest are cited on Form PLO-892, which is attachment to this office action.

Any response to this action should be mailed to:

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Any inquiry of a general nature or relating to the status of this application should be directed to the central telephone number (571) 272-2100.

Direct any inquiries concerning drawing review to the Drawing Review Branch  
(703) 305-8404.

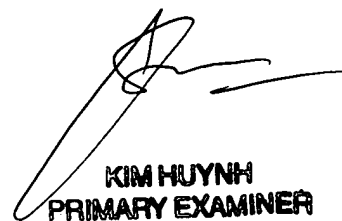
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Harold Kim whose telephone number is 571-272-4148. The examiner can normally be reached on Monday-Thursday 6AM-4PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Dov Popovici can be reached on 571-272-4083. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



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June 26, 2005/HK



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6/27/05